

PTO/SB/17 (12-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>FEE TRANSMITTAL</b> <b>For FY 2005</b>		<b>Complete if Known</b>	
Effective on 12/08/2004. Pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).		Application Number	10/621,645
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Filing Date	July 17, 2003
TOTAL AMOUNT OF PAYMENT (\$)		First Named Inventor	Blake Johnson
180.00		Examiner Name	Joseph P. Hirl
		Art Unit	2121
		Attorney Docket No.	PA2362US

**METHOD OF PAYMENT (check all that apply)**

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☒ Other (please identify):

☒ Deposit Account Deposit Account Number: 06-0600 Deposit Account Name: Carr & Ferrell LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

<b>Total Claims</b>	<b>Extra Claims</b>	<b>Fee (\$)</b>	<b>Fee Paid (\$)</b>	<b>Multiple Dependent Claims</b>	<b>Fee (\$)</b>	<b>Fee Paid (\$)</b>
- 20 or HP =	x	=				
HP = highest number of total claims paid for, if greater than 20						
<b>Indep. Claims</b>	<b>Extra Claims</b>	<b>Fee (\$)</b>	<b>Fee Paid (\$)</b>			
- 3 or HP =	x	=				
HP = highest number of independent claims paid for, if greater than 3						

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<b>Total Sheets</b>	<b>Extra Sheets</b>	<b>Number of each additional 50 or fraction thereof</b>	<b>Fee (\$)</b>	<b>Fee Paid (\$)</b>
- 100 =	/ 50 =	(round up to a whole number) x	=	

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other: IDS Filing Fee (37 CFR §1.17(p))

180

**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent)	41,388	Telephone	650-812-3423
Name (Print/Type)	Susan Yee	Date	May 3, 2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/21 (09-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

13

Application Number

10621,645

Filing Date

July 17, 2003

First Named Inventor

Blake Johnson

Art Unit

2121

Examiner Name

Joseph P. Hirl

Attorney Docket Number

PA2362US

**ENCLOSURES** (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/  
Incomplete ApplicationReply to Missing Parts  
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a  
Provisional ApplicationPower of Attorney, Revocation  
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) \_\_\_\_\_

☐ Landscape Table on CD

After Allowance Communication to TC

Appeal Communication to Board  
of Appeals and InterferencesAppeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify  
below):

- 1) Confirmation Postcard;
- 2) Duplicate of Supplemental IDS;
- 3) PTO/SB/08 (in duplicate);
- 4) Copy of 1 cited nonpatent reference;
- 5) Statement Under 37 C.F.R. § 1.97(e)(1) (2 pp);
- 6) Check for \$180.00

Remarks

Total page number does not include postcard, check or cited nonpatent reference.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Carr &amp; Ferrell LLP

Cust. No. 22830

Signature

Printed name

Susan Yee

Date

May 3, 2005

Reg. No.

41,388

**CERTIFICATE OF TRANSMISSION/MAILING**

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Signature

Typed or printed name

Susan Yee, Reg. No. 41,388

Date

May 3, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Blake Johnson et al.  
APPLICATION NO.: 10/621,645  
FILED: July 17, 2003  
TITLE: System and Method for Representing and Incorporating  
Available Information into Uncertainty-Based Forecasts  
EXAMINER: Joseph P. Hirl  
GROUP ART UNIT: 2121  
ATTY.DKT.NO.: PA2362US

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MAIL STOP AMENDMENT  
COMMISSIONER FOR PATENTS  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

**STATEMENT UNDER 37 C.F.R. § 1.97(e)(1)**

Applicants hereby state, pursuant to 37 C.F.R. § 1.97(e)(1), each item of information contained in the accompanying information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

All references cited in the accompanying information disclosure statement were first made known to the Applicants' attorney in an international search report dated

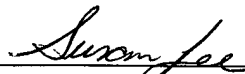
February 14, 2005, for the corresponding Patent Cooperation Treaty patent application number PCT/US04/23144 filed July 19, 2004.

As such, Applicants contend this information disclosure statement and the references cited therein should be considered under 37 C.F.R. § 1.97(d).

Respectfully submitted,  
Blake Johnson et al.

Dated: May 3, 2005

By:


  
\_\_\_\_\_  
Susan Yee, Reg. No. 41,388  
Carr & Ferrell LLP  
2200 Geng Road  
Palo Alto, CA 94303  
Phone: 650.812.3400  
Fax: 650.812.3444

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Dated: May 3, 2005

By:

  
\_\_\_\_\_  
Susan Yee, Reg. No. 41,388



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Blake Johnson et al.  
APPLICATION NO.: 10/621,645  
FILED: July 17, 2003  
TITLE: System and Method for Representing and Incorporating  
Available Information into Uncertainty-Based Forecasts  
EXAMINER: Joseph P. Hirl  
GROUP ART UNIT: 2121  
ATTY.DKT.NO.: PA2362US

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**Under 37 C.F.R. §§ 1.56, and 1.97-1.98**

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08 listing several references, a copy of the cited nonpatent reference is enclosed. These references were cited in an International Search Report for the corresponding Patent Cooperation Treaty application number PCT/US04/23144. These references were categorized as "A" references, defined by the International Search Authority as "document defining the general state of the art which is not considered to be of particular relevance." The

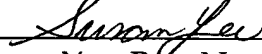
Examiner is requested to make these references of official record in the application. The references cited may be material to examination of the application and are submitted in compliance with Applicant(s)'s duty of disclosure as defined by 37 C.F.R. § 1.56.

No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicants hereby attach the \$180 fee required by 37 C.F.R. §1.17(p) with this submission. The Commissioner is hereby authorized to charge Deposit Account No. 06-0600 for any additional fees that may be required, or credit our account for any overpayment charge. A copy of this statement is submitted in duplicate for this purpose.

Respectfully submitted,  
Blake Johnson et al.

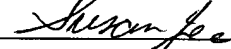
Dated: May 3, 2005

By:   
Susan Yee, Reg. No. 41,388  
Carr & Ferrell LLP  
2200 Geng Road  
Palo Alto, CA 94303  
Phone: 650.812.3400  
Fax: 650.812.3444

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Dated: May 3, 2005

By:   
Susan Yee, Reg. No. 41,388



**(Use as many sheets as necessary)**

Sheet	1	of	2
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**Complete if Known**

Application Number	10/621,645
Filing Date	July 17, 2003
First Named Inventor	Blake Johnson
Art Unit	2121
Examiner Name	Joseph P. Hirl
Attorney Docket Number	PA2362US

## U. S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

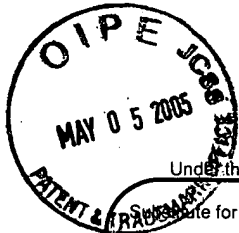
Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08B (08-03)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/621,645
Filing Date	July 17, 2003
First Named Inventor	Blake Johnson
Art Unit	2121
Examiner Name	Joseph P. Hirl
Attorney Docket Number	PA2362US

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		BRADLEY UNIVERSITY, Black-Scholes-Option Pricing Models	

Examiner Signature	Date Considered
-----------------------	--------------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**(Use as many sheets as necessary)**

Sheet	1	of	2
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**Complete if Known**

Application Number	10/621,645
Filing Date	July 17, 2003
First Named Inventor	Blake Johnson
Art Unit	2121
Examiner Name	Joseph P. Hirl
Attorney Docket Number	PA2362US

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

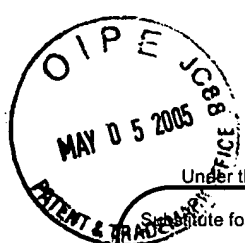
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number	10/621,645
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First Named Inventor	Blake Johnson
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Examiner Name	Joseph P. Hirl
Attorney Docket Number	PA2362US

Sheet 2

of

2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
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Examiner  
SignatureDate  
Considered

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